CPA firms demand profitable growth even in difficult times. They want to create lasting momentum by finding and implementing sustainable growth strategies.

Current financial trends have compelled both CPA firms and their clients to re-evaluate the quality and delivery of the financial advice they need to reach their financial goals.

There is a tremendous opportunity to deepen and solidify relationships with your best clients and attract highly-desired prospective clients. These clients demand comprehensive wealth management services from a team of professionals whose integrity, competence, security and privacy they can trust. At the same time, CPA firms can build a new vertical business model that can be three to five times more profitable than traditional accounting services—and build enterprise values as high as four to six times their traditional tax and accounting business*.

Building a successful wealth management practice within a multi-partner accounting firm takes a proven blueprint for reaching the firm’s highest potential. Based on expertise gained from working with hundreds of successful firms, 1st Global has developed proven processes that include market research, practice consulting, business development processes and innovative technology.

For more than 20 years, 1st Global has been a leading growth consultant for CPA firms that seek to become excellent providers of high-benefit services to their most valued clients.

If your firm is committed to sustainable growth strategies, we want to determine if our services fit your firm’s goals and vision for a prosperous future.

* David Goad, Succession Planning Consultants, Inc. and data based on revenues of existing 1st Global affiliated firms as of June, 2011. Results may not be representative of each advisor and/or partner within a given firm. Affiliates revenues will vary.
The dedication of the 1st Global organization — from top to bottom — reminds me again and again why I chose them as my financial services partner: Never satisfied with the status quo, they are constantly finding ways to upgrade and expand their menu of services, their technology and their people.

Jeff Watson, CPA/PFS, CFP™
WealthCare Financial Group, LLC
Indianapolis

1st Global was founded in 1992 by CPAs who believe that accounting and tax professionals are uniquely qualified to add value to their existing client relationships by offering holistic, comprehensive wealth management services. At the same time, wealth management provides an exceptional growth strategy for CPA firms.

Our mission is to help CPA, tax and estate planning firms adopt and implement the essential capabilities to provide total wealth management services to both emerging affluent and affluent families. We deliver the wealth management capabilities required for sustainable growth: world-class research, practice consulting, exceptional business development processes and innovative technology.

Using these tools, CPA firms can profitably and ethically serve more clients, serve them better and more completely, enabling those clients to honor the important promises they make to loved ones.

1st Global is committed to adhering to the highest ethical standards. We are uniquely qualified to support your firm as it designs and implements the financial solutions your clients need. Currently, more than 1,000 professionals have chosen to affiliate with 1st Global, making 1st Global the largest independently owned financial services partner for accounting and tax firms.
LEADING CPA FIRMS CHOOSE 1st GLOBAL FOR SERVICE EXCELLENCE

Excellence in operations and customer service is imperative in today’s financial services marketplace. The ability to deliver efficient and superior service is a key differentiator for quality-minded CPA, estate planning and financial consulting firms when choosing a business development partner and turnkey asset manager.

Our ongoing commitment to first-rate service is a firm-wide passion. We take special pride in providing the best possible support to our firms, allowing them to focus on what they do best – helping their clients make and honor promises.

Our affiliated advisors enthusiastically endorse 1st Global’s customer service, and we are honored to have received the DALBAR Award for Service Excellence six times in the last decade. The DALBAR Service Award symbolizes 1st Global’s delivery of the highest level of service to its Financial Advisors within the financial services industry. It is awarded to firms that exceed industry expectations in key areas. According to DALBAR, winners of this award can confidently consider themselves leaders within the financial services industry.

Our own high standards support 1st Global’s position of leadership in the financial services industry as well as reinforce our dedication to innovation, efficiency and service excellence. Our goal is to help more people get the right advice from the best wealth management firms.
WEALTH CARE
[welth • ’ker] noun

1 the management of uncertainty and the safeguarding and promotion of financial well-being through the implementation of financial solutions by a dedicated and highly competent financial advisor

At 1st Global, the cornerstone of our founding philosophy is the belief in comprehensive tax-centric wealth management, a holistic approach to financial services. Your firm can do more for its clients by understanding how all the pieces of their financial puzzle fit and work together.

Your firm already has a deep understanding of your clients’ tax situation. Gain the confidence and competence to also provide comprehensive wealth management to your clients by partnering with 1st Global. We have the experience, technology, education programs and tools to help your firm become a complete wealth management provider. We supply the education and resources your firm needs to offer clients customized solutions across all areas of wealth management: wealth accumulation, tax planning, asset preservation, asset distribution, income protection, retirement and wealth transfer.

Strengthen and expand your long-term client relationships by implementing wealth management. Conducting effective client meetings based on 1st Global’s wealth management process, the Method 10™ — a complete methodology for organizing and prioritizing your clients’ financial needs — shows your firm’s commitment to its clients.

1st Global offers detailed training on how to prepare for and conduct client meetings that build trust, strengthen relationships and create meaningful results. Through our Wealth Management Academy®, learn about the three basic types of client meetings — discovery, implementation and review. Learn how to plan, organize and conduct each type of meeting to best assist your clients with their financial needs.
METHOD 10™: PUTTING CLIENT NEEDS IN FOCUS
The Method 10™ discipline comprises the 10 key wealth management issues that must systematically be addressed to implement comprehensive financial solutions. The Method 10™ approach provides a framework to prioritize goals, services and solutions.
Dedicated wealth management firms need innovative technology and resources to analyze clients’ financial situations and develop, recommend and implement appropriate solutions.

**FA.1STGLOBAL.COM**

Our 1st Global Financial Advisor website provides a centralized location to access the tools and information needed most. From client account access to requests for case assistance, everything your firm needs is available on the 1st Global Financial Advisor website, which also includes:

- News articles to keep apprised of the latest industry developments and how they may affect your clients
- Innovative Business Builders — daily tips and actionable ideas to grow and strengthen your firm
- Fast, straightforward access to our Frequently Asked Questions
- Customizable marketing campaigns

**THE ONLINE MATRIX™**

The online MATRIX™ is a compendium of 1st Global’s educational materials focused on the four main areas of developing a successful financial services practice: Marketing, Sales, Operations and Administration. The online MATRIX™ contains forms, presentations, marketing samples, document checklists and other resources to help craft and implement solutions for your clients’ financial needs.

- Materials are organized and cross-referenced within multiple categories, so that relevant documents are available where needed
- A comprehensive, easy-to-use search engine quickly finds necessary materials

**1ST GLOBAL PATHWAY™**

1st Global Pathway™ is the essential business resource that provides your firm with the information and capabilities necessary to implement new IMS and Retail Brokerage business in one central, convenient location. This online tool allows you to view documents, make changes to client account information, request checks and access the Model Management and Trading Application. The Trading Application allows your firm to efficiently administer fee-based accounts and maintain control with constant visibility.

- Trading is user-friendly
- Account information is easily accessible
- Rebalancing client accounts can be done quickly

**CUSTOMER SERVICE HOME PAGE**

The Customer Service home page is the window into 1st Global. Use this page to:

- Request customized investment proposals
- Create and track service requests
- Keep track of the documents sent to 1st Global and know when they have been processed
- View documents in process
- Paperless office solutions and electronic processing

**1ST GLOBAL ACCESS™**

1st Global Access™ is our proprietary, Web-based client account, compensation lookup and reporting tool for wealth management firms. In one easy-to-use Internet application you are able to:

- Create custom client and firm management reports
- View compensation details and track earnings
- Access an extensive set of cost basis and gain/loss reporting tools
INSURANCE GEAR

Insurance Gear is the hub for all insurance information:

- Access to licensing materials and procedures
- Updated lists of all the insurance carriers with which 1st Global is appointed
- Quotes and illustrations for term-life insurance, variable annuities and permanent life insurance
- Product pricing schedules
- Automated status notification system for case management
- Archived recordings of our insurance and annuity product webcasts

STREETSCAPE

Streetscape offers a single point of access to real-time market data, news and research. Access the resources necessary to take informed action using an expansive array of tools to help grow and service your firm. Streetscape allows you to:

- Enter trades efficiently and reliably online
- Access a variety of account activity reports
- View real-time quotes for equities, futures, mutual funds, options and more
- View market information through Market Movers, World Markets, TheStreet.com and CBS MarketWatch Commentary

MORNINGSTAR ADVISOR WORKSTATION

Morningstar and 1st Global have partnered to bring Morningstar Advisor Workstation, a cutting-edge investment planning application. This application is indispensable to all advisors offering fee-based services. Morningstar Advisor Workstation is an online front-office system that works in conjunction with back-office portfolio accounting and transaction programs. It provides the ability to work on core daily tasks from a single Web-based application, and is designed to work smarter and more effectively by providing:

- Research on funds, variable annuities, stocks and exchange-traded funds (ETFs)
- Hypothetical illustrations
- Portfolio management and planning tools

1ST GLOBAL/DST VISION

The Financial Advisor home page also features seamless access to DST Vision, a comprehensive online tool that offers access to your clients’ mutual fund and variable annuity accounts. DST Vision provides complete client account access, including:

- Consolidated customer portfolio management
- Detailed account information, including transaction and maintenance history
- Electronic statements
- Real-time, reliable information for more than 260 mutual fund and variable annuity companies

FINANCIAL OPERATIONS REVIEW REPORT

To grow your firm, benchmarks are needed to evaluate performance. The Financial Operations Review Report is designed to manage business by:

- Summarizing production, tracking activity and providing context for future expectations
- Helping identify both strengths and problem areas, develop goals and build your financial services firm into a strong, successful business
1st Global provides the support your firm needs to build a successful wealth management business. We boast a dedicated team of experienced professionals that provides a variety of solutions for clients’ wealth management needs and helps your firm grow a wealth management business. The paramount goal of Practice Consulting is to ensure the success of your wealth management business.

**PRACTICE CONSULTING**

The Practice Consulting Group is the primary liaison for new advisors joining the 1st Global family. Our Practice Consultants:

- Assist in efficiently integrating financial services into your firm
- Provide training on essential practice management ideas such as value proposition creation, ideal client profile, client service and experience, and aggregated best practices from 20 years of working with CPA and estate planning wealth managers
- Assist your firm in developing and executing a business plan
- Provide guidance on client conversations: what to say and how to say it
- 1st START Program for firm leaders to start or jump-start your wealth management business
- Facilitate Client Advocate Process training, which delivers a client engagement process with a built-in method for coaching clients to make introductions to the firm.
- Perform the Wealth Management Feasibility Analysis and Consultation™, which demonstrates the embedded potential for firm growth and provides the answers for common roadblocks to success

**TRANSITION SERVICES**

At 1st Global, we take the process of changing affiliations very seriously. That is why we have developed a turnkey process to ensure a smooth transition. From the start, a personal transition coordinator is assigned to your firm to guide the entire transition process so your firm can continue spending time focusing on clients. 1st Global’s staff can:

- Transfer your firm’s securities and insurance licenses quickly and efficiently
- Track all paperwork for individual or block transfers
- Introduce innovative tools and techniques to help build your business

**FINANCIAL CONSULTING**

The Financial Consulting Group is your firm’s primary resource for delivering cutting-edge client solutions and adopting business-building best practices. Financial Consulting directors provide:

- Investment proposal preparation
- Client meeting guidelines
- Financial planning support
- Client solutions expertise
- Marketing plan assistance
- Sustainable Income Solutions™
- Proposals and support
ADVANCED CASE DESIGN
A unique resource for firms working with high-net-worth clients, the Advanced Case Design Group provides expert assistance and analysis for complex cases. This highly trained, experienced group of financial professionals can:

- Design and implement complete wealth management solutions across asset management, income tax planning, estate planning, retirement planning and risk management disciplines for affluent clients and clients with complex financial situations
- Advise and assist on client presentations

INSURANCE SALES SUPPORT
Your clients may require insurance solutions, whether for business, retirement or estate planning. Though the features of insurance products change frequently and can be complex, your firm can partner existing client knowledge with 1st Global’s expert insurance team to provide optimum solutions. 1st Global’s dedicated Insurance Sales Support team is available to assist with marketing, pre-sales support and implementation strategies, including product selection and comparisons, illustrations, quotes and in office support.

CAPITAL MARKETS
The Capital Markets Group exists to assist your firm with all of its trading and market related needs. This specialized team of fixed income, brokerage and managed account traders know their responsibility begins by doing everything they can to support the very important relationship you have built with your clients. The Capital Markets Group helps you enable your clients to achieve their financial goals by providing access to a wide range of resources and products to better serve the needs of your clients.

- Online trading platform access and phone order entry availability
- Automated managed account and model change trading solutions
- Access to expansive fixed income inventories both online and through our direct relationships
- Assistance in creating customized fixed income portfolios for your clients
- Serving as a resource point for commentary on market news and product information
- Available product offerings: Equities, Mutual Funds, Exchange Traded Funds, Unit Trusts, Precious Metals, Publicly Traded REITs & LPs, Options, Bonds, Certificates of Deposit, Preferred Stocks, and Structured Products.

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Investment advisory services offered through 1st Global Advisors Inc.
1st Global provides the freedom to choose the right solutions for clients without pressure to promote or push proprietary products.

1st Global has access to a vast array of investment companies. With this flexibility, your firm is able to offer clients a full range of financial services, including:

- Equity trading
- Fixed-income solutions
- Mutual funds
- Advisory services
- Risk management
- Fixed and variable annuities
- Direct investments
- Retirement planning
- Estate planning
- Financial planning

SECURITIES BROKERAGE SERVICES
Offering wide-ranging access to information, a diverse portfolio of financial products, premium services and advanced technology, 1st Global Capital Corp. brings a wealth of advantages to meet each client’s unique needs. Securities brokerage services include:

- Comprehensive access to financial products, including stocks, bonds, CDs, mutual funds and variable annuities
- Consolidated client statements and year-end tax reports that are easy to understand
- Brokerage account VIP privileges, including unlimited check writing, VISA platinum debit/ATM cards and automatic investment features
- Online access for clients to view their brokerage accounts
- World-class compliance support
- Dedication to excellence in customer service

INSURANCE SERVICES
As an integral part of a comprehensive financial plan, insurance solutions address many individual and business needs such as:

- Asset protection
- Business succession
- Estate planning
- Non-qualified retirement strategies
- Disability
- Long-term care

1st Global Insurance Services offers access to more than 80 insurance companies, providing a variety of solutions for clients’ specific needs.

RETIREMENT PLANNING SERVICES
Helping individuals plan for a financially secure, comfortable and dignified retirement can be especially rewarding. 1st Global offers a full range of retirement planning solutions, including IRAs, 401(k)s, variable annuities and more.

FEE-BASED 401(K)
1st Global Advisors, Inc. offers a fee-based turnkey 401(k) solution for your business clients. Our 401(k) platform offers a range of plan designs plus a choice of either full service plan administration (with 1st Global as third-party administrator) or record-keeping function only (outside third-party administrator) models. Plan sponsors can offer their employee participants a wide variety of investment options within our multi-fund family platform.
Participants, plan sponsors and advisors all have direct access to 1st Global Retirement Services staff for professional assistance. Online technology delivers:

- Advisor site for retirement plan information
- Online loan and distribution planning services
- Plan sponsor and participant level reporting
- Online prospectuses

FEE-BASED ASSET MANAGEMENT

1st Global Advisors, Inc. offers multiple, flexible managed-account programs with access to more than 5000, exchange-traded funds, no-load and load-waived mutual funds and scores of separate account managers and strategies. Our asset management programs can be customized to fit the needs of each individual investor and include:

- Competitively priced, multi-fund investment programs utilizing actively managed mutual funds and exchange-traded index funds
- Flexibility to incorporate stocks and bonds to build a more customized portfolio that meets your clients’ individual needs
- Competitively priced access to mutual funds designed for larger institutions, with lower expense ratios and a lower minimum account size
- Sophisticated reporting flexibility and analysis for larger portfolios
- Specially designed portfolio consulting and manager search programs suited for investors who prefer to use portfolio managers specializing in specific disciplines
- Availability of world-class Multiple Strategy Accounts and Unified Managed Accounts that enable your firm to compete with other sophisticated providers of fee-based account solutions

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Investment advisory services offered through 1st Global Advisors Inc.
Imagine no longer having to spend time and resources marketing to grow your business and instead, focusing on practicing the craft of wealth management. Imagine a stream of qualified prospective clients flowing from the open endorsement of a high-performing CPA. If this is the ideal vision you have for your financial advising future, it’s time to take the next step to make it a reality.

As the leading business partner to high-performing CPA firms, 1st Global believes that the right financial advisor can mean the difference between success and failure for a firm’s wealth management practice. 1st Global selects highly qualified financial advisors to work with not only our existing firms already offering wealth management, but also new firms that have recently affiliated and are just entering this niche. We seek to partner these financial advisors with our firms who understand the value of providing holistic wealth management advice and service to their clients, but choose to do so by introducing a trusted financial advisor into the deep relationships they have already built.

THE RIGHT PARTNERSHIP

We are looking for accomplished, experienced professionals with a strong track record for success and a passion for comprehensive financial planning. 1st Global financial advisors are competent, professional and deliver the highest level of integrity to compliment the traditional services and high practice standards of CPAs.

The ideal financial advisor candidate looking to partner with 1st Global possesses the following qualities:

- Seven or more years of experience
- Has a proven ability to manage and lead a financial planning practice
- Meets our production and income standards
- Has earned one or more professional designations (CFP, ChFC,CLU or CFA)
- Remains committed to the independent model
- Currently embraces multiple components of financial planning with clients

If you possess these important characteristics, you can be confident that 1st Global is the right partner for your future.
YOUR FINANCIAL ADVISING FUTURE WITH 1ST GLOBAL

THE RIGHT MODEL FOR THE RIGHT ADVISOR

We are the only independent wealth management services company that has a proven system to place CPAs and financial advisors together in strategic business models that work. Our models allow firms to become the sole provider of holistic wealth management to their clients with whom they have already developed trusted relationships. The advisor will enhance those trusted relationships by delivering complete wealth management solutions for their financial puzzles.

1st Global has developed several strategic business models to address the needs of financial advisors. Our flexible business platform allows us to accommodate a broad cross-section of advisors who meet our selective standards and share our holistic view of wealth management.

Some financial advisors who affiliate with us operate independently, continuing to serve their existing clients, as we align them over time with one or more 1st Global firms on a part-time basis under the Business Affiliate Services (BAS) model. This option provides a great platform to run your existing practice, but also allows you to build sustainable growth unavailable with any other broker/dealer.

Other 1st Global financial advisors find a home within a large CPA firm working full-time delivering comprehensive wealth management guidance and services to that firm’s existing clients under the Business Management Services (BMS) model.

1st Global will work with you to determine which model fits your present situation and future career goals best.

TAKING THE RIGHT NEXT STEP

The decision to join a new firm is among the most important career moves a financial advisor can make. To learn more about partnering with 1st Global, contact our Advisor Recruiting Director at (800) 959-8461 or LearnMore@1stGlobal.com.
Why do you do what you do? The power of your answer is the catalyst that enables and empowers your firm to achieve sustainable growth. These are 1st Global’s five Whys:

- **Take Personal Responsibility for One’s Life**: We must be accountable for our actions and intentionally take total responsibility for all of our decisions, the choices we make, the beliefs we carry and what motivates us to live our lives with dignity and humility. We must extend this notion of personal responsibility to our clients by providing them with the knowledge and capability to also be intentional with their actions.

- **Honor Promises Made to the Ones We Love**: Financial planning is a path to happiness because it allows us to make and honor life’s important promises and obligations. These include our duties as a husband or wife, a father or mother, a brother or sister, and a steward of financial stability for our clients.

- **Have the Courage to Never Play the Coward’s Role**: We must commit ourselves to always doing the right thing for ourselves and our clients, even if this means refusing what could be a lucrative opportunity. In addition, we must always boldly advocate for what is most important to us and our clients.
WHY DO WE DO WHAT WE DO?

• **Advocate for the Nobility of Business, Work and Free Enterprise:** The essence of our liberty and economic freedom is grounded in the opportunities we pursue through our vocation. Irish author Rebecca West eloquently states, “Life ought to be a struggle of desire toward adventures whose nobility will fertilize the soul.” Creating and building business provides opportunities for us and others to pursue those adventures.

• **Show Compassion and Benevolence to Those Needing Assistance:** The essence of wisdom and humanity is grounded in our dedication to others in our society. Often people can become destitute through misfortunes beyond their control, such as natural disasters, birth defects or mental limitations. Charitable giving is a great source of happiness and we must be financially benevolent to those who are truly suffering from extraordinary circumstances.

1st Global was founded in 1992 by CPAs who believe in personal responsibility and doing the right thing. These five principles guide our philosophy and are the foundation for our belief that accounting and tax professionals are uniquely qualified to deliver this value to their clients through comprehensive wealth management services. Our business is to help CPA firms honor the important promises they have made to their clients by adopting and implementing essential wealth management capabilities. We do this by providing them with world-class research, accounting firm-centered advice, exceptional business development education and innovative technology. Using these tools, CPA firms can profitably and ethically serve their clients better.
1st Global is the largest independently owned wealth management partner for CPA, estate planning, and legal firms. More than 400 firms rely on our expertise and resources to meet their clients’ wealth management needs. We provide business development education, consulting services, research, and innovative technology to help ensure success in every facet of business, from operations and administration to sales and marketing. With 1st Global in your corner, your clients’ potential to build wealth, and your ability to manage it, are exceptional.